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April 20, 1999

WRITER'S DIRECT NUMBER:

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Assistant Commissioner for Patents
Washington, D.C. 20231

Box Patent Application

Re: U.S. Non-Provisional Utility Patent Application under 37 C.F.R. § 1.53(b)
Appl. No. To be assigned; Filed: April 20, 1999
For: **System, Method, and Computer Program Product for Collateral
Management Operations**
Inventors: David SHIMKO, Richard APOSTOLIK, and
H. Brett HUMPHREYS
Our Ref: 1750.0150000/MBR/RVM

Sir:

The following documents are forwarded herewith for appropriate action by the U.S.
Patent and Trademark Office:

1. U.S. Utility Patent Application entitled:

**System, Method, and Computer Program Product for Collateral
Management Operations**

and naming as inventors:

David Shimko, Richard Apostolik, and H. Brett Humphreys

the application comprising:

Assistant Commissioner for Patents

April 20, 1999

Page 2

a. A specification containing:

- (i) 32 pages of description prior to the claims;
- (ii) 9 pages of claims (26 claims - 4 Independent);
- (iii) a one (1) page abstract;

b. Thirteen (13) sheets of drawings: (Figures 1A, 1B, and 2-12);

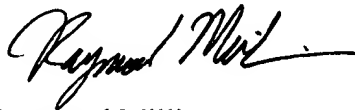
- 2. USPTO Utility Patent Application Transmittal Form PTO/SB/05;
- 3. 37 C.F.R. § 1.136(a)(3) Authorization to Treat a Reply As Incorporating An Extension of Time (in duplicate);
- 4. An Information Disclosure Statement (IDS);
- 5. Form PTO-1449 (2 pages) with six (6) accompanying documents; and
- 6. Two (2) return postcards.

It is respectfully requested that, of the two attached postcards, one be stamped with the filing date of these documents and returned to our courier, and the other, prepaid postcard, be stamped with the filing date and unofficial application number and returned as soon as possible.

This patent application is being submitted under 37 C.F.R. § 1.53(b) without Declaration and without filing fee.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Raymond Millien
Attorney for Applicants
Registration No. 43,806



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR § 1.53(h))

Attorney Docket No.

1750.01500000

First Inventor or
Application Identifier

David SHIMKO

Title

System, Method, and Computer Program Product for
Collateral Management Operations

Express Mail Label No.

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 202311. ☐ * Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original, and a duplicate for fee processing)2. ☒ Specification [Total Pages 42]

(preferred arrangement set forth below)

- Descriptive title of the Invention
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings
- Detailed Description
- Claims
- Abstract of the Disclosure

3. ☒ Drawings (35 U.S.C. 113) [Total Sheets 13]4. ☐ Oath or Declaration [Total Pages]a. ☐ Newly executedb. ☐ Copy from a prior application (37 CFR 1.63(d)) (for
continuation/divisional with Box 17 completed)
[Note Box 5 below]i. ☐ DELETION OF INVENTOR(S)Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR §§
1.63(d)(2) and 1.33(b).5. ☐ Incorporation By Reference (useable if Box 4b is checked)The entire disclosure of the prior application, from which a copy of the oath
or declaration is supplied under Box 4b, is considered as being part of the
disclosure of the accompanying application and is hereby incorporated by
reference therein.6. ☐ Microfiche Computer Program (Appendix)7. Nucleotide and/or Amino Acid Sequence Submission (if
applicable, all necessary)a. ☐ Computer Readable Copyb. ☐ Paper Copy (identical to computer copy)c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

8. ☐ Assignment Papers (cover sheet & document(s))9. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney
(when there is an assignee)10. ☐ English Translation Document (if applicable)11. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations12. ☐ Preliminary Amendment13. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)14. ☐ *Small Entity Statement(s) ☐ Statement filed in prior
(PTO/SB/09-12) application, Status still proper
and desired15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)16. ☒ Other: 37 C.F.R. § 1.136(a)(3) Authorization☐ Other:*NOTE FOR ITEMS 1 & 14: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A
SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A
PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☐ Continuation☐ Divisional☐ Continuation-in-Part (CIP) of prior application No: ____/____

Prior application information: Examiner _____ Group/Art Unit: _____

18. CORRESPONDENCE ADDRESS

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Jc594 U.S. PTO
09/294898
04/20/99

In re application of:

David SHIMKO, Richard APOSTOLIK,
and H. Brett HUMPHREYS

Appl. No. To be assigned

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For: **System, Method, and Computer
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Art Unit: To be assigned

Examiner: To be assigned

Atty. Docket: 1750.0150000/MBR/RVM

**Authorization To Treat A Reply As Incorporating An Extension Of Time
Under 37 C.F.R. § 1.136(a)(3)**

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

The U.S. Patent and Trademark Office is hereby authorized to treat any concurrent or future reply that requires a petition for an extension of time under this paragraph for its timely submission, as incorporating a petition for extension of time for the appropriate length of time. The U.S. Patent and Trademark Office is hereby authorized to charge all required extension of time fees to our Deposit Account No. 19-0036, if such fees are not otherwise provided for in such reply. A duplicate copy of this authorization is enclosed.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



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